

**In The United States District Court  
For The District Of New Jersey**

Commodity Futures Trading Commission,  
Plaintiff,

vs.

Equity Financial Group LLC,  
Tech Traders, Inc.,  
Vincent J. Firth, and  
Robert W. Shimer,  
Defendants.

**Civil Action No: 04 CV 1512**

Judge Robert B. Kugler

**INITIAL QUESTIONNAIRE**

1. My full name and contact information are:

Name: \_\_\_\_\_

Home Phone # ( ) - \_\_\_\_\_ Bus. Phone # ( ) - \_\_\_\_\_

Street: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_ Country: \_\_\_\_\_

E-mail: \_\_\_\_\_ Occupation: \_\_\_\_\_

Best time and means to contact: \_\_\_\_\_

2. I transferred monies to \_\_\_\_\_

*(name of entity to whom money was sent)* by *(check, wire, cash)* \_\_\_\_\_

to bank account number \_\_\_\_\_ at \_\_\_\_\_ *(name of financial institution)*.

3. How did you first learn of this entity? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

4. List all of the people with whom you spoke with prior to transferring any monies to this entity: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_.

*(Attach additional sheets as necessary)*

5. What were you told, by whom, about historical trading performance? Please explain in detail. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_.

6. What were you told, by whom, about the potential for future profitability? Please explain in detail. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_.

7. My decision to invest with this entity was based upon the following: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_.

*(Attach additional sheets as necessary)*

8. I received trading statements from \_\_\_\_\_  
via \_\_\_\_\_ (U.S. Mail, facsimile, email).

9. What is your account number? \_\_\_\_\_.

10. In total, I invested \$\_\_\_\_\_.

11. To date, I have received a total of \$\_\_\_\_\_ from this investment.

12. I believe that I am owed the following amount in connection with my investment(s):  
\$\_\_\_\_\_.

13. I calculated the above amount as follows:

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14. I have additional information to provide regarding this entity.

Yes

No

15. I have additional information to provide regarding other related entities and/or individuals.

Yes

No

16. I would like to add the following information to this questionnaire:

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Date: \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print name

## **PRIVACY ACT STATEMENT (7 U.S.C. § 552a)**

The Commission has the authority to collect information and evidence pertinent to the effective enforcement of the Commodity Exchange Act (“Act”) and the Commission’s Regulations. 7 U.S.C. §§ 2, 5, 9, 12(a), 13a-1, 15. It may also collect information and evidence relating to futures and options matters on behalf of foreign authorities. 7 U.S.C. § 16(f) (1).

The Commission’s principal reason for soliciting this information from you is to monitor and/or enforce compliance with the Act and Regulations, or to assist foreign authorities in gathering information relevant to their responsibilities. There are no direct effects or sanctions for failing to provide any or all of the requested information.

Any information you do provide, however, must be truthful. A person who is found to have knowingly and willfully submitted false, fictitious, and/or fraudulent statements to the Commission may be fined up to \$10,000 and/or imprisoned up to five years for such conduct. 18 U.S.C. § 1001; 17 C.F.R. § 11.6(b).

The information you provide may be used in the routine operation of the Commission, which includes law enforcement, review of legislative and regulatory proposals, regulation of the commodity futures markets, and review of reports and documents filed with the Commission. Specifically, the Commission may use the information obtained from this survey in any administrative or civil proceeding in which it is a party, or any member of the Commission or its staff participates as a party. It may also provide the information to other state and federal agencies, and foreign authorities.